



FIS Trade & Transaction Reporting

Precisely identify and manage reporting obligations



Faced with growing complexity and the sheer variety of trading-related information to be reported to authorities, financial institutions and their risk management teams are struggling to keep a high level of quality and efficiency.

This often results in time-consuming remediation and validation to rectify incorrect report submissions or to simply establish if a particular trading activity has been over or under reported.

Furthermore, senior executives within these institutions are compelled to ensure that risk management processes are comprehensive and correctly implemented post-trade. Reputational impact aside, this is to avoid financial penalties, as well as resource inefficiencies that, for example, stem from an imbalance between over reporting and under reporting.

FIS® Trade & Transaction Reporting (formerly Droit) provides a flexible solution that covers eligibility, validation and traceability to track and accurately report on compliant trades in real time. Not only does it address the need for primary support in creating submissible reports, but it can also be utilized for quality assurance purposes with its very precise eligibility and validation checks on post-trade reporting output. This means the right reports, with the right fields completed, at the right time, allowing front-office and middle-office teams to fully focus on client opportunities, comfortable that reporting obligations have been fulfilled.

And, because it's powered by FIS' patented Adept platform, the decisioning process on what needs to be reported is fully automated, adding further precision to reporting requirements.

Key capabilities

Consensus-driven

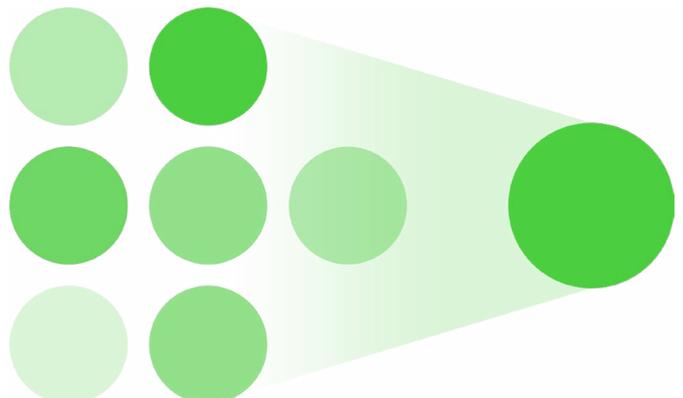
Address regulatory ambiguities: Using a blend of horizon scanning and client feedback from the world's top financial institutions, you can consistently deliver high-quality decisions backed by the right explanations.

Scalability and performance

Large volumes on-demand or batch: The decision engine is designed for high volume transaction processing, handling millions of transactions a day, whether on-demand or in batches. This high-performance capability ensures that as business grows, the system can scale, reliably supporting operations even during peak demand periods.

Reliability and traceability

Proven decision engine: Each decision is backed by an audit record with a clear, comprehensible decision path and direct attribution to the source regulation or guidance. Firms also have the ability to re-run past decisions for a retrospective review.



Reporting obligation eligibility

In-depth decision analysis

Demystify decision paths with Logic Viewer:

Each decision is backed by a clear, comprehensible decision path and direct attribution to the source regulation or guidance. This capability not only simplifies the decision-making process but also strengthens auditability, allowing businesses to demonstrate their compliance to regulators with confidence.

Scenario simulation

Predictive insights through decision UI: Reduce the effort and risk of regulatory change management through scenario evaluation and what-if simulations. Whether on-premise or in the cloud, Decision UI enables rapid evaluation of upcoming changes and situations.

Report validation

Enhanced validations

Going beyond the specification: The system goes beyond regulatory requirements by incorporating best practices and known issues into its validation process. This approach, informed by regulatory guidelines, enforcement actions, industry best practices and client feedback, ensures a comprehensive and reliable compliance framework.

Root cause analysis

Uncover underlying issues with Reporting

Workbench: The reporting workbench is designed to facilitate efficient root cause analysis. It allows for the loading, review, in-depth analysis and tracking of regulatory reports, helping you uncover and address all applicable issues in a unified and timely manner.



Why choose FIS for trade and transaction reporting?

Used by the world's largest banks

FIS' accumulated expertise is trusted by many of the largest banks and asset managers globally. The platform makes millions of mission-critical regulatory, risk and governance-based decisions every day.

Ensures a consensus approach

The decision engine has been engineered to support consensus-driven, regulatory decision-making, eliminating the need to individually interpret what's required to meet reporting obligations.

Utilizes available data

You can leverage current reference data and policies where relevant, minimizing implementation timelines and complexity.

Compliance and supervisor friendly

Our patented technology enables complete forensic reviews to quickly and easily prove adherence to a decision process in a way that is fully auditable, traceable and repeatable with visualized logic. This is easily viewed standalone, or integrated into a firm's own surveillance systems.

All-in-one platform

The platform is well established and being used to power a number of product solutions across the capital markets transaction lifecycle.

Unlock more

Money at rest. Money in motion. Money at work.™

Our **technology** powers the global economy across the money lifecycle.



Money at rest

Unlock seamless integration and human-centric digital experiences while ensuring efficiency, stability, and compliance as your business grows.



Money in motion

Unlock liquidity and flow of funds by synchronizing transactions, payment systems, and financial networks without compromising speed or security.



Money at work

Unlock a cohesive financial ecosystem and insights for strategic decisions to expand operations while optimizing performance.

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